House Resolution 7 - Introduced

HOUSE RESOLUTION NO. 7 BY COMMITTEE ON ETHICS (SUCCESSOR TO HSB 15)

- 1 A Resolution relating to the House code of ethics.
- 2 BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES, That
- 3 the House Code of Ethics shall be as follows:
- 4 HOUSE CODE OF ETHICS
- 5 PREAMBLE. Every legislator and legislative employee
- 6 has a duty to uphold the integrity and honor of the
- 7 general assembly, to encourage respect for the law and
- 8 for the general assembly, and to observe the house code
- 9 of ethics. The members and employees of the house
- 10 have a responsibility to conduct themselves so as to
- 11 reflect credit on the general assembly, and to inspire
- 12 the confidence, respect, and trust of the public. The
- 13 following rules are adopted pursuant to chapter 68B of
- 14 the Code, to assist the members and employees in the
- 15 conduct of their activities:
- 16 1. DEFINITIONS. The definitions of terms provided
- 17 in chapter 68B of the Code apply to the use of those
- 18 terms in these rules.
- 19 2. ECONOMIC INTEREST OF MEMBER OR EMPLOYEE OF
- 20 HOUSE.
- 21 a. Economic or investment opportunity. A member
- 22 or employee of the house shall not solicit or accept
- 23 economic or investment opportunity under circumstances
- 24 where the member or employee knows, or should know,
- 25 that the opportunity is being afforded with the intent
- 26 to influence the member's or employee's conduct in
- 27 the performance of official duties. If a member

- 1 or employee of the house learns that an economic
- 2 or investment opportunity previously accepted was
- 3 offered with the intent of influencing the member's or
- 4 employee's conduct in the performance of the official
- 5 duties, the member or employee shall take steps to
- 6 divest that member or employee of that investment or
- 7 economic opportunity, and shall report the matter
- 8 in writing to the chairperson of the house ethics
- 9 committee.
- 10 b. Excessive charges for services, goods, or
- 11 property interests. A member or employee of the
- 12 house shall not charge to or accept from a person
- 13 known to have a legislative interest, a price, fee,
- 14 compensation, or other consideration for the sale or
- 15 lease of any property or the furnishing of services
- 16 which is in excess of that which the member or employee
- 17 would ordinarily charge another person.
- 18 c. Use of confidential information. A member or
- 19 employee of the house, in order to further the member's
- 20 or employee's own economic interests, or those of any
- 21 other person, shall not disclose or use confidential
- 22 information acquired in the course of the member's or
- 23 employee's official duties. For the purpose of this
- 24 rule, information disclosed in open session at a public
- 25 meeting and information that is a public record is not
- 26 confidential information.
- 27 d. Employment. A member or employee of the
- 28 house shall not accept employment, either directly
- 29 or indirectly, from a political action committee. A
- 30 member of the house shall not act as a paid lobbyist

- 1 for any organization. However, this paragraph shall
- 2 not prohibit a member or employee of the house from
- 3 working for a candidate's committee, a political
- 4 party's action committee, or a political action
- 5 committee which does not expressly advocate the
- 6 nomination, election, or defeat of a candidate for
- 7 public office in this state or expressly advocate the
- 8 passage or defeat of a ballot issue in this state and
- 9 which is not interested in issues before the general
- 10 assembly.
- 11 For the purpose of this rule, a political action
- 12 committee means a committee, but not a candidate's
- 13 committee, which accepts contributions, makes
- 14 expenditures, or incurs indebtedness in the aggregate
- 15 of more than seven hundred fifty dollars in any one
- 16 calendar year to expressly advocate the nomination,
- 17 election, or defeat of a candidate for public office or
- 18 to expressly advocate the passage or defeat of a ballot
- 19 issue or for the purpose of influencing legislative
- 20 action.
- 21 e. A member or employee of the house shall not
- 22 solicit employment on behalf of the member or employee,
- 23 or on behalf of another legislator or employee, as a
- 24 lobbyist while the general assembly is in session.
- 25 f. Certain goods or services. A member or employee
- 26 of the house shall not solicit or obtain goods or
- 27 services from another person under circumstances where
- 28 the member or employee knows or should know that the
- 29 goods or services are being offered or sold with the
- 30 intent to influence the member's or employee's conduct

- l in the performance of official duties. If a member or
- 2 employee of the house is afforded goods or services
- 3 by another person at a price that is not available to
- 4 other members or classes of members of the general
- 5 public or is afforded goods or services that are
- 6 not available to other members or classes of members
- 7 of the general public by another person where the
- 8 member or employee knows or should know that the other
- 9 person intends to influence the member's or employee's
- 10 official conduct, the member or employee shall not take
- ll or purchase the goods or services.
- 12 3. APPEARANCE BEFORE STATE AGENCY. A member or
- 13 employee of the house may appear before a state agency
- 14 in any representation case but shall not act as a
- 15 lobbyist with respect to the passage, defeat, approval,
- 16 veto, or modification of any legislation, rule, or
- 17 executive order. Whenever a member or employee of
- 18 the house appears before a state agency, the member
- 19 or employee shall carefully avoid all conduct which
- 20 might in any way lead members of the general public
- 21 to conclude that the member or employee is using the
- 22 member's or employee's official position to further the
- 23 member's or employee's professional success or personal
- 24 financial interest.
- 25 4. CONFLICTS OF INTEREST. In order for the general
- 26 assembly to function effectively, members of the house
- 27 may be required to vote on bills and participate in
- 28 committee work which will affect their employment and
- 29 other areas in which they may have a monetary interest.
- 30 Action on bills and committee work which furthers a

- 1 member's specific employment, specific investment, or
- 2 other specific interest, as opposed to the interests of
- 3 the public in general or the interests of a profession,
- 4 trade, business, or other class of persons, shall be
- 5 avoided. In making a decision relative to a member's
- 6 activity on particular bills or in committee work, the
- 7 following factors should be considered:
- 8 a. Whether a substantial threat to the member's
- 9 independence of judgment has been created by the
- 10 conflict situation.
- 11 b. The effect of the member's participation on
- 12 public confidence in the integrity of the general
- 13 assembly.
- 14 c. Whether the member's participation is likely to
- 15 have any significant effect on the disposition of the
- 16 matter.
- 17 d. The need for the member's particular
- 18 contribution, such as special knowledge of the subject
- 19 matter, to the effective functioning of the general
- 20 assembly.
- 21 If a member decides not to participate in committee
- 22 work or to abstain from voting because of a possible
- 23 conflict of interest, the member should disclose
- 24 this fact to the legislative body. The member shall
- 25 not vote on any question in which the member has an
- 26 economic interest that is distinguishable from the
- 27 interests of the general public or a substantial class
- 28 of persons.
- 29 5. STATUTORY REQUIREMENTS. Members and employees
- 30 of the house shall comply with the requirements

- 1 contained in chapters 68B (Conflicts of Interest of
- 2 Public Officers and Employees Government Ethics and
- 3 Lobbying), 721 (Official Misconduct), and 722 (Bribery
- 4 and Corruption), and sections 2.18 (Contempt) and 711.4
- 5 (Extortion) of the Code.
- 6. CHARGE ACCOUNTS. Members and employees of the
- 7 house shall not charge any amount or item to a charge
- 8 account to be paid for by a lobbyist or any client of
- 9 a lobbyist.
- 7. TRAVEL EXPENSES. A member or employee of the
- 11 house shall not charge to the state of Iowa amounts
- 12 for travel and expenses unless the member or employee
- 13 actually has incurred those mileage and expense costs.
- 14 Members or employees shall not file the vouchers for
- 15 weekly mileage reimbursement required by section 2.10,
- 16 subsection 1 of the Code, unless the travel expense was
- 17 actually incurred.
- 18 A member or employee of the house shall not file
- 19 a claim for per diem compensation for a meeting of
- 20 an interim study committee or a visitation committee
- 21 unless the member or employee attended the meeting.
- 22 However, the speaker may waive this provision and allow
- 23 a claim to be filed if the member or employee attempted
- 24 to attend the meeting but was unable to do so because
- 25 of circumstances beyond the member's or employee's
- 26 control.
- 27 8. GIFTS ACCEPTED OR RECEIVED. Members and
- 28 employees of the house shall comply with the
- 29 restrictions relating to the receipt or acceptance of
- 30 gifts contained in section 68B.22 of the Code.

- 1 9. HONORARIA RESTRICTIONS. Members and employees
- 2 of the house shall comply with the restrictions
- 3 relating to the receipt of honoraria contained in
- 4 section 68B.23 of the Code.
- 5 10. DISCLOSURE REQUIRED. Each member of the
- 6 house and the chief clerk of the house shall file the
- 7 personal financial disclosure statements required under
- 8 section 68B.35 of the Code by February 15 of each year
- 9 for the prior calendar year.
- 10 11. SEXUAL HARASSMENT. Members and employees of
- 11 the house shall not engage in conduct which constitutes
- 12 sexual harassment as defined in section 19B.12 of
- 13 the Code or pursuant to the sexual harassment policy
- 14 adopted by the house committee on administration and
- 15 rules.
- 16 12. COMPLAINTS.
- 17 a. Filing of complaint. Complaints may be filed by
- 18 any person believing that a member or employee of the
- 19 house, a lobbyist, or a client of a lobbyist is guilty
- 20 of a violation of the house code of ethics, the house
- 21 rules governing lobbyists, or chapter 68B of the Code.
- 22 b. Complaints by committee. The ethics committee
- 23 may initiate a complaint on its own motion. Committee
- 24 complaints may be initiated by the committee as a
- 25 result of a committee investigation or as a result of
- 26 receipt of any complaint or other information that does
- 27 not meet the requirements of these rules regarding the
- 28 form of a complaint but that contains allegations that
- 29 would form the basis for a valid complaint.
- 30 c. Form and contents of complaint. A complaint

- 1 shall be in writing.
- 2 Complaint forms shall be available from the chief
- 3 clerk of the house, but a complaint shall not be
- 4 rejected for failure to use the approved form if it
- 5 complies with the requirements of these rules. The
- 6 complaint shall contain a certification made by the
- 7 complainant, under penalty of perjury, that the facts
- 8 stated in the complaint are true to the best of the
- 9 complainant's knowledge.
- 10 To be valid, a complaint shall allege all of the
- 11 following:
- 12 (1) Facts, that if true, establish a violation of a
- 13 provision of chapter 68B of the Code, the house code of
- 14 ethics, or house rules governing lobbyists for which
- 15 penalties or other remedies are provided.
- 16 (2) That the conduct providing the basis for the
- 17 complaint occurred within three years of the filing of
- 18 the complaint.
- 19 (3) That the party charged with a violation is
- 20 a party subject to the jurisdiction of the ethics
- 21 committee.
- 22 d. Confidentiality of complaint. The filing of the
- 23 complaint identity of the parties and the contents of
- 24 the complaint shall be confidential until the time that
- 25 the committee meets to determine whether the complaint
- 26 is valid, unless either the complainant or the party
- 27 charged in the complaint makes the existence identity
- 28 of the parties, or the information contained in, the
- 29 complaint public. However, if either the complainant
- 30 or party alleged to have committed the violation

- 1 requests that the meeting to determine whether the
- 2 complaint is valid be a closed meeting and the filing
- 3 identity of the complaint parties or the contents of
- 4 the complaint have not been disclosed, the meeting
- 5 shall be closed.
- 6 e. Notice of complaint. Upon receipt of the
- 7 complaint, the chief clerk of the house shall promptly
- 8 notify the chairperson and ranking member of the
- 9 ethics committee that a complaint has been filed and
- 10 provide both the chairperson and the ranking member
- 11 with copies of the complaint and any supporting
- 12 information. Within two working days, the chief clerk
- 13 shall send notice, either by personal delivery or by
- 14 certified mail, return receipt requested, to the person
- 15 or persons alleged to have committed the violation,
- 16 along with a copy of the complaint and any supporting
- 17 information. The notice to the accused person shall
- 18 contain a request that the person submit a written
- 19 response to the complaint within ten working days of
- 20 the date that the notice was sent by the chief clerk.
- 21 At the request of the accused person, the committee may
- 22 extend the time for the response, not to exceed ten
- 23 additional calendar days.
- 24 f. Hearing regarding validity of complaint. The
- 25 committee chairperson and the ranking member shall
- 26 review the complaint and supporting information to
- 27 determine whether the complaint meets the requirements
- 28 as to form. If the complaint is deficient as to form,
- 29 the complaint shall be returned to the complainant
- 30 with instructions indicating the deficiency unless the

- 1 committee decides to proceed on its own motion. If the
- 2 complaint is in writing and contains the appropriate
- 3 certification, as soon as practicable, the chairperson
- 4 shall call a meeting of the committee to review the
- 5 complaint to determine whether the complaint meets the
- 6 requirements for validity and whether the committee
- 7 should take action on the complaint pursuant to
- 8 paragraph "g" or whether the committee should request
- 9 that the chief justice of the supreme court appoint an
- 10 independent special counsel to conduct an investigation
- 11 to determine whether probable cause exists to believe
- 12 that a violation of the house code of ethics, house
- 13 rules governing lobbyists, or chapter 68B of the Code,
- 14 has occurred.
- 15 If the committee finds that a complaint does not
- 16 meet the content requirements for a valid complaint,
- 17 the committee shall dismiss the complaint and notify
- 18 both the complainant and the party alleged to have
- 19 committed the violation of the dismissal and the
- 20 reasons for dismissal. A dismissal for failure to meet
- 21 the formal requirements for the filing of a complaint
- 22 shall be without prejudice and the complainant may
- 23 refile the complaint at any time within three years of
- 24 the date that the alleged violation took place. If
- 25 the dismissal is based upon a failure to allege facts
- 26 and circumstances necessary for a valid complaint, the
- 27 dismissal shall be with prejudice and the party shall
- 28 not be permitted to file a complaint based upon the
- 29 same facts and circumstances.
- 30 g. If the committee determines a complaint is

- 1 valid and determines no dispute exists between the
- 2 parties regarding the material facts that establish
- 3 a violation, the committee may take action on the
- 4 complaint under this paragraph without requesting the
- 5 appointment of an independent special counsel.
- 6 The committee may do any of the following:
- 7 (1) Issue an admonishment to advise against the
- 8 conduct that formed the basis for the complaint and to
- 9 exercise care in the future.
- 10 (2) Issue an order to cease and desist the conduct
- 11 that formed the basis for the complaint.
- 12 (3) Make a recommendation to the house that
- 13 the person subject to the complaint be censured or
- 14 reprimanded.
- 15 h. Request for appointment of independent special
- 16 counsel. If, after review of the complaint and any
- 17 response made by the party alleged to have committed
- 18 the violation, the committee determines that the
- 19 complaint meets the requirements for form and content
- 20 and the committee has not taken action under paragraph
- 21 "g", the committee shall request that the chief justice
- 22 of the supreme court appoint independent special
- 23 counsel to investigate the matter and determine whether
- 24 probable cause exists to believe that a violation of
- 25 chapter 68B of the Code, the house code of ethics, or
- 26 the house rules governing lobbyists has occurred.
- 27 i. Receipt of report of independent special
- 28 counsel. The report from the independent special
- 29 counsel regarding probable cause to proceed on a
- 30 complaint shall be filed with the chief clerk of the

- 1 house. Upon receipt of the report of the independent
- 2 special counsel, the chief clerk shall notify the
- 3 chairperson of the filing of the report and shall send
- 4 copies of the report to the members of the ethics
- 5 committee. As soon as practicable after the filing of
- 6 the report, the chairperson shall schedule a public
- 7 meeting for review of the report. The purpose of
- 8 the public meeting shall be to determine whether the
- 9 complaint should be dismissed, whether a formal hearing
- 10 should be held on the complaint, or whether other
- 11 committee action is appropriate. The complainant and
- 12 the person alleged to have committed the violation
- 13 shall be given notice of the public meeting, shall have
- 14 the right to be present at the public meeting, and may,
- 15 at the discretion of the committee, present testimony
- 16 in support of or against the recommendations contained
- 17 in the report.
- 18 If the committee determines that the matter should
- 19 be dismissed, the committee shall cause an order to
- 20 be entered dismissing the matter and notice of the
- 21 dismissal shall be given to the complainant and the
- 22 party alleged to have committed the violation. If
- 23 the committee determines that the complaint should be
- 24 scheduled for formal hearing, the committee shall issue
- 25 a charging statement which contains the charges and
- 26 supporting facts that are to be set for formal hearing
- 27 and notice shall be sent to the complainant and the
- 28 accused person.
- 29 The notice shall include a statement of the nature
- 30 of the charge or charges, a statement of the time and

- 1 place of hearing, a short and plain statement of the
- 2 facts asserted, and a statement of the rights of the
- 3 accused person at the hearing.
- 4 j. Formal hearing. Formal hearings shall be public
- 5 and conducted in the manner provided in section 68B.31,
- 6 subsection 8 of the Code. At a formal hearing the
- 7 accused shall have the right to be present and to
- 8 be heard in person and by counsel, to cross-examine
- 9 witnesses, and to present evidence. Members of
- 10 the committee shall also have the right to question
- ll witnesses.
- 12 The committee may require, by subpoena or otherwise,
- 13 the attendance and testimony of witnesses and the
- 14 production of such books, records, correspondence,
- 15 memoranda, papers, documents, and any other things it
- 16 deems necessary to the conduct of the inquiry.
- 17 Evidence at the formal hearing shall be received
- 18 in accordance with rules and procedures applicable to
- 19 contested cases under chapter 17A of the Code.
- 20 The committee chairperson, or the vice chairperson
- 21 or ranking member in the absence of the chairperson,
- 22 shall preside at the formal hearing and shall rule on
- 23 the admissibility of any evidence received. The ruling
- 24 of the chairperson may be overturned by a majority
- 25 vote of the committee. Independent special counsel
- 26 shall present the evidence in support of the charge
- 27 or charges. The burden shall be on the independent
- 28 special counsel to prove the charge or charges by
- 29 a preponderance of clear and convincing evidence.
- 30 Upon completion of the formal hearing, the committee

- 1 shall adopt written findings of fact and conclusions
- 2 concerning the merits of the charges and make its
- 3 report and recommendation to the house.
- 4 k. Disqualification of member. Members of the
- 5 committee may disqualify themselves from participating
- 6 in any investigation of the conduct of another person
- 7 upon submission of a written statement that the member
- 8 cannot render an impartial and unbiased decision
- 9 in a case. A member may also be disqualified by a
- 10 unanimous vote of the remaining eligible members of the
- 11 committee.
- 12 A member of the committee is ineligible to
- 13 participate in committee meetings, as a member of the
- 14 committee, in any proceeding relating to the member's
- 15 own official conduct.
- 16 If a member of the committee is disqualified or
- 17 ineligible to act, the majority or minority leader who
- 18 appointed the member shall appoint a replacement member
- 19 to serve as a member of the committee during the period
- 20 of disqualification or ineligibility.
- 21 k. 1. Recommendations by the committee. The
- 22 committee shall recommend to the house that the
- 23 complaint be dismissed, or that one or more of the
- 24 following be imposed:
- 25 (1) That the member or employee of the house
- 26 or lobbyist or client of a lobbyist be censured or
- 27 reprimanded, and the recommended appropriate form of
- 28 censure or reprimand be used.
- 29 (2) That the member of the house be suspended or
- 30 expelled from membership in the house and required

- 1 to forfeit the member's salary for that period, the
- 2 employee of the house be suspended or dismissed from
- 3 employment, or that the lobbyist's or lobbyist's
- 4 client's lobbying privileges be suspended.
- 5 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a
- 6 complaint has been filed or an investigation has been
- 7 initiated, a party to the complaint or investigation
- 8 shall not communicate, or cause another to communicate,
- 9 as to the merits of the complaint or investigation with
- 10 a member of the committee, except under the following
- 11 circumstances:
- 12 a. During the course of any meetings or other
- 13 official proceedings of the committee regarding the
- 14 complaint or investigation.
- 15 b. In writing, if a copy of the writing is
- 16 delivered to the adverse party or the designated
- 17 representative for the adverse party.
- 18 c. Orally, if adequate prior notice of the
- 19 communication is given to the adverse party or the
- 20 designated representative for the adverse party.
- 21 d. As otherwise authorized by statute, the house
- 22 code of ethics, house rules governing lobbyists, or
- 23 vote of the committee.
- 24 14. PERMANENT RECORD. The chief clerk of the house
- 25 shall maintain a permanent record of all complaints
- 26 filed and any corresponding committee action. The
- 27 permanent record shall be prepared by the ethics
- 28 committee and shall contain the date the complaint was
- 29 filed, name and address of the complainant, name and
- 30 address of the accused person, a brief statement of the

- 1 charges made, any evidence received by the committee,
- 2 any transcripts or recordings of committee action, and
- 3 ultimate disposition of the complaint. The chief clerk
- 4 shall keep each complaint confidential until public
- 5 disclosure is made by the ethics committee.
- 6 15. MEETING AUTHORIZATION. The house ethics
- 7 committee is authorized to meet at the discretion of
- 8 the committee chairperson in order to conduct hearings
- 9 and other business that properly may come before it.
- 10 If the committee submits a report seeking house action
- 11 against a member or employee of the house or lobbyist
- 12 after the second regular session of a general assembly
- 13 has adjourned sine die, the report shall be submitted
- 14 to and considered by the subsequent general assembly.
- 15 16. ADVISORY OPINIONS.
- 16 a. Requests for formal opinions. A request for a
- 17 formal advisory opinion may be filed by any person who
- 18 is subject to the authority of the ethics committee.
- 19 The ethics committee may also issue a formal advisory
- 20 opinion on its own motion, without having previously
- 21 received a formal request for an opinion, on any issue
- 22 that is within the jurisdiction of the committee.
- 23 Requests shall be filed with either the chief clerk of
- 24 the house or the chairperson of the ethics committee.
- 25 b. Form and contents of requests. A request for
- 26 a formal advisory opinion shall be in writing and
- 27 may pertain to any subject matter that is related to
- 28 application of the house code of ethics, the house
- 29 rules governing lobbyists, or chapter 68B of the Code
- 30 to any person who is subject to the authority of

- 1 the ethics committee. Requests shall contain one or
- 2 more specific questions and shall relate either to
- 3 future conduct or be stated in the hypothetical. A
- 4 request for an advisory opinion shall not specifically
- 5 name any individual or contain any other specific
- 6 identifying information, unless the request relates
- 7 to the requester's own conduct. However, any request
- 8 may contain information which identifies the kind of
- 9 individual who may be affected by the subject matter
- 10 of the request. Examples of this latter kind of
- 11 identifying information may include references to
- 12 conduct of a category of individuals, such as but not
- 13 limited to conduct of legislators, legislative staff,
- 14 or lobbyists.
- 15 c. Confidentiality of formal requests and opinions.
- 16 Requests for formal opinions are not confidential and
- 17 any deliberations of the committee regarding a request
- 18 for a formal opinion shall be public. Opinions issued
- 19 in response to requests for formal opinions are not
- 20 confidential, shall be in writing, and shall be placed
- 21 on file in the office of the chief clerk of the house.
- 22 Persons requesting formal opinions shall personally
- 23 receive a copy of the written formal opinion that is
- 24 issued in response to the request.
- 25 17. PERSONAL FINANCIAL DISCLOSURE FORM. The
- 26 following form shall be used for disclosure of economic
- 27 interests under these rules and section 68B.35 of the
- 28 Code:
- 29 STATEMENT OF ECONOMIC INTERESTS
- 30 Name: ______

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1
        (Last)
                       (First)
                                       (Middle Initial)
 2 Address:
 3
          (Street Address, Apt.#/P.O. Box)
 4
          (City)(State)(Zip)
 6 Phone: (Home) _____/____(Business) _____/____
 7 *********************
     This form is due each year on or before February 15.
9 The reporting period is the most recently completed
10 calendar year.
     In completing Division III of this form, if your
12 percentage of ownership of an asset is less than 100
13 percent, multiply your percentage of ownership by the
14 total revenue produced to determine if you have reached
15 the $1,000 threshold.
     Do not report income received by your spouse or
16
17 other family members.
     In completing this form, if insufficient space is
18
19 provided for your answer, you may attach additional
20 information/answers on full-size sheets of paper.
21
     Division I. Business, Occupation, Profession.
22
     List each business, occupation, or profession in
23 which you are engaged, the nature of the business if
24 not evident, and your position or job title. No income
25 threshold or time requirement applies.
26
     Examples:
27
     If you are employed by an individual, state the name
28 of the individual employer, the nature of the business,
29 and your position.
30
     If you are self-employed and are not incorporated
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1 or are not doing business under a particular business 2 name, state that you are self-employed, the nature of 3 the business, and your position. If you own your own corporation, are employed by a 5 corporation, or are doing business under a particular 6 business name, state the name and nature of the 7 business or corporation and your position. 10 3_____ 13 6 Division II. Commissions from Sales of Goods or 14 15 Services to Political Subdivisions. 16 This part is to be completed only by Legislators. 17 If you received income in the form of a commission 18 from the sale of goods or services to a political 19 subdivision, state the name of the purchasing political 20 subdivision. The amount of commission earned is not 21 required to be listed. 23 2_____ 26 5 27 6

Division III. Sources of Gross Income.

In each one of the following categories list each

30 source which produces more than \$1,000 in annual gross

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1	income, if the revenue produced by the source was
2	subject to federal or state income taxes last year.
3	List the nature or type of each company, business,
4	financial institution, corporation, partnership, or
5	other entity which produces more than $$1,000$ of annual
6	gross income. Neither the amount of income produced
7	nor value of the holding is required to be listed in
8	any of the items.
9	A. Securities: State the nature of the business of
10	any company in which you hold stock, bonds, or other
11	pecuniary interests that generate more than \$1,000 in
12	annual gross income. Income generated by multiple
13	holdings in a single company are deemed received from
14	a single source.
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21	B. Instruments of Financial Institutions: State
22	the types of institutions in which you hold financial
23	instruments, such as certificates of deposit, savings
24	accounts, etc., that produce annual gross income in
25	excess of \$1,000, e.g., banks, savings and loans, or
26	credit unions.
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3	C. Trusts: State the nature or type of any trust
4	from which you receive more than \$1,000 of gross income
5	annually.
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12	D. Real Estate: State the general nature of real
13	estate interests that generate more than \$1,000 of
14	gross income annually, e.g., residential leasehold
15	interest or farm leasehold interest. The size or
16	location of the property interest is not required to
17	be listed.
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24	E. Retirement Systems: State the name of each
	pension plan or other corporation or company that pays
	you more than \$1,000 annually in retirement benefits.
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3	F. Other Income Categories Specified in State and
4	Federal Income Tax Regulations.
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10	
11	(Signature of Filer) (Date)